

05/11/99

Jc662 U.S. PTO

Please type a plus sign (+) inside this box → ☐

PTO/SB/05 (4/98)
 Approved for use through 09/30/2000. OMB 0851-0032
 Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
 Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Attorney Docket No. CALT-2806
 First Inventor or Application Identifier Lee J. Burrows
 Title A Method for Pressurized Annealing of ...
 Express Mail Label No. EL209954481US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☐ * Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☒ Specification [Total Pages 28]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to Microfiche Appendix
 - Background of the invention
 - Brief Summary of the invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
3. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 6]
4. Oath or Declaration [Total Pages]
 - a. ☐ Newly executed (original or copy)
 - b. ☐ Copy from a prior application (37 C.F.R. § 1.63(d))
(for continuation/divisional with Box 16 completed)
 - c. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).

NOTE: FOR ITEMS 1 & 2, IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).

ADDRESS TO: Assistant Commissioner for Patents
 Box Patent Application
 Washington, DC 20231

5. ☐ Microfiche Computer Program (Appendix)
6. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. ☐ Computer Readable Copy
 - b. ☐ Paper Copy (identical to computer copy)
 - c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

7. ☐ Assignment Papers (cover sheet & document(s))
8. ☐ 37 C.F.R. § 3.73(b) Statement of Power of Attorney (when there is an assignee)
9. ☐ English Translation Document (if applicable)
10. ☐ Information Disclosure Statement (IDS)/PTO-1449 [Copies of IDS Citations]
11. ☐ Preliminary Amendment
12. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
13. ☐ * Small Entity Statement(s) [Statement filed in prior application, Status still proper and desired (PTO/SB/09-12)]
14. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
15. ☐ Other: _____

16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:
- ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: _____

Prior application information: Examiner _____

Group / Art Unit: _____

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

17. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☐ Correspondence address below

Name David B. Ritchie
 D'Alessandro & Ritchie
 Address P. O. Box 640640
 City San Jose State CA Zip Code 95164-0640
 Country USA Telephone 408-441-1100 Fax 408-441-8400

Name (Print/Type) David B. Ritchie Registration No. (Attorney/Agent) 31,562
 Signature [Signature] Date 11 MAY 1999

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:) Art Unit:
Lee J. Burrows) Examiner:
Serial No. [Not yet assigned])
Filed: May 11, 1999)
For: A METHOD FOR PRESSURIZED)
ANNEALING OF LITHIUM NIOBATE)
AND RESULTING LITHIUM)
<u>NIOBATE STRUCTURES</u>)

CERTIFICATE OF MAILING

"Express Mail" mailing label no: EL209954481US

Date of Deposit: May 11, 1999

I hereby certify that this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to:

Box Patent Application
 Assistant Commissioner for Patents
 Washington, D.C. 20231


 Diane Morse

TRANSMITTAL LETTER

Honorable Assistant Commissioner
 for Patents
 Box Patent Application
 Washington, D.C. 20231

Dear Sir:

Enclosed for filing please find the patent application for an invention entitled, "A METHOD FOR PRESSURIZED ANNEALING OF LITHIUM NIOBATE AND RESULTING LITHIUM NIOBATE STRUCTURES", filed on behalf of California Institute of Technology, assignee from inventor Lee J. Burrows, including Utility Patent Application Transmittal, 20 pages of specification, 7 pages of claims, 6 sheets of drawing figures, and 1 page of Abstract.

The attorney's Docket Number is CALT-2806.

06750-796060

Kindly address all communications regarding this application to:

David B. Ritchie
D'Alessandro & Ritchie
P.O. Box 640640
San Jose, CA 95164-0640
Telephone (408) 441-1100

No fee is being paid at this time.

Respectfully submitted,
D'ALESSANDRO & RITCHIE



David B. Ritchie
Reg. No. 31,562

Dated: May 11, 1999

D'Alessandro & Ritchie
P.O. Box 640640
San Jose, CA 95164-0640
(408) 441-1100

0930361-051199